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I hereby certify that this correspondence is being transmitted to the United States Patent and Trademark Office at fax# (703)746-9195 on June 24, 2002.

By Kel Timmons Date: June 24, 2002

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): **Debargha Mukherjee et al.**  
 Serial No.: **10/036,663**

Group Art Unit: **2615**  
 Examiner: **TBD**

Filed: **November 1, 2001**

Confirmation No. **3728**

Title: **Single-pass guaranteed-fit data compression using rate feedback**

Atty Docket: **10005065-1**

### Request for Corrected Filing Receipt

**Attn: Filing Receipt Correction Division**

Sir:

This is in response to the Response to Request for Corrected Filing Receipt (copy attached) received from the Patent and Trademark Office on June 11, 2002. The Response states:

"Changes made after submission of an executed declaration to the inventor information other than correction of typographical errors must be submitted in the form of a substitute declaration. Change of inventorship requires a petition under 37 CFR 1.48."

Applicant respectfully submits that the above noted application, filed on November 1, 2001, was filed with 2 pages of an executed Combined Declaration and Power of Attorney (copy attached) having three inventor's names and signatures – Debargha Mukherjee, Christos Chrysalis, and Amir Said. Applicant received a postcard (copy attached) from the Patent Office showing receipt of the Application and the Combined Declaration and Power of Attorney documents on November 1, 2001. However, Applicant received a filing receipt from the patent office (mailed February 8, 2002) with only one of the inventor's names listed, Debargha Mukherjee (copy attached). Since the filing receipt was missing two of the inventor's names, Applicant submitted a Request for a Correction of Filing Receipt (copy attached). In response to Applicant's Request, Applicant received the Response to Request for Corrected Filing Receipt denying Applicant's request, indicating "Changes made after submission of an executed declaration to the inventor information other than correction of typographical errors must be submitted in the form of a substitute declaration. Change of inventorship requires a petition under 37 CFR 1.48."

Applicant respectfully submits that no changes were made to the Combined Declaration and Power of Attorney after submission and instead Applicant is simply requesting that the filing receipt reflect the three names on the original Combined Declaration and Power of Attorney filed with the Application on November 1, 2001.

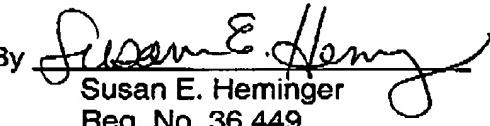
US Application No. 10/036,663  
Attorney Docket No.: 10005065-1

Hence, a new filing receipt having all three inventor names should be issued in response to Applicant's Request for Correction of the Filing Receipt.

Consequently, we again request that the omitted inventors, Christos Chrysalis, and Amir Said, be added to the filing receipt and a corrected filing receipt be issued.

Thank you for your prompt attention to this request.

Respectfully submitted,

By   
Susan E. Heminger  
Reg. No. 36,449

Dated: June 24, 2002  
Tel.: 650/236-2738

Hewlett Packard Company  
Intellectual Property Administration  
P.O. Box 272400  
Fort Collins, Colorado 80527-2400

# 3



Susan E. Heminger, Patent Agent  
 Corporate Legal Department,  
**Hewlett-Packard Company**  
 1501 Page Mill Rd., M/S 4U10  
 Palo Alto, CA 94304-1126

**10005065-1 H0014 "Single-Pass Guaranteed-Fit Data Compression Using Rate Feedback" by Mukherjee et al.**

Please find enclosed:

Patent application transmittal letter (x2);  
 Declaration and Power of Attorney (2 pages); J1011 U.S. PTO  
 Patent Specification and claims (28 pages); and 10/036663  
 Formal drawings (7 sheets) 11/01/01

Mail room: Please date stamp and return to addressee.

1 Data  
 jee et al.

ddressee.

**10005065-1 H0014 "Single-Pass Guaranteed-Fit Data Compression Using Rate Feedback" by Mukherjee et al.**

Please find enclosed:

Patent application transmittal letter (x2); J1011 U.S. PTO  
 Declaration and Power of Attorney;  
 IDS 1449 with references;  
 Patent Specification and claims; and 10/036663  
 Seven sheets of formal drawings 11/01/01

Mail room: Please date stamp and return to addressee.



Hewlett-Packard Company  
1501 Page Mill Road, ms 4u-10  
Palo Alto, CA 94304-1126  
650.852.8063 Fax

BY FACSIMILE - (703) 308-7751

March 1, 2002

Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, D.C. 20231

**RE: Correction of Filing Receipt**  
**Application No: 10/036,663; Filing Date: 11/01/2001**  
**HP Docket No: 10005065-1**

Dear Sirs:

We hereby request two corrections to the enclosed filing receipt as follows:

- Add inventors #2 & #3 as follows: Christos Chrysalis & Amir Said  
Please see attached Declaration and Power of Attorney form; and
- Correct Atty Docket No. to read as follows: 10005065-1

I have enclosed a copy of the current filing receipt for your use.

Thank you for your prompt attention to this request.

Best regards,

A handwritten signature in cursive script that appears to read "Dee Timmons".

Dee Timmons  
Legal Administrator  
Intellectual Property Section



UNITED STATES PATENT AND TRADEMARK OFFICE

Received from <650 852 8063> at 6/24/02 10:09:56 AM [Eastern Daylight Time]

Page 1 of 2

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY.DOCKET.NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
10/036,663 ✓	11/01/2001 ✓	2615	740	10005065 - 1 ✓ 7		18	3

RECEIVED

CONFIRMATION NO. 3728 ✓

FILING RECEIPT

OC000000007447547

HEWLETT-PACKARD COMPANY  
Intellectual Property Administration  
P.O. Box 272400  
Fort Collins, CO 80527-2400

FEB 19 2002

SEH  
HP LEGAL  
IPX

Date Mailed: 02/08/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Debargha Mukherjee, San Jose, CA; ✓ Inventors # 2 + # 3  
not listed "

Domestic Priority data as claimed by applicant

Foreign Applications

If Required, Foreign Filing License Granted 02/08/2002

Projected Publication Date: 05/01/2003

Non-Publication Request: No

Early Publication Request: No

Title

Single-pass guaranteed-fit data compression using rate feedback ✓

Preliminary Class

386

LICENSE FOR FOREIGN FILING UNDER

**Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related application(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



Hewlett-Packard Company  
1501 Page Mill Road, ms 4u-10  
Palo Alto, CA 94304-1126  
650.852.8063 Fax

BY FACSIMILE – (703) 308-7751

March 1, 2002

Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, D.C. 20231

**RE: Correction of Filing Receipt**  
**Application No: 10/036,663; Filing Date: 11/01/2001**  
**HP Docket No: 10005065-1**

Dear Sirs:

We hereby request two corrections to the enclosed filing receipt as follows:

- Add inventors #2 & #3 as follows: Christos Chrysalis & Amir Said  
Please see attached Declaration and Power of Attorney form; and
- Correct Atty Docket No. to read as follows: 10005065-1

I have enclosed a copy of the current filing receipt for your use.

Thank you for your prompt attention to this request.

Best regards,

A handwritten signature in cursive script that appears to read "Dee Timmons".

Dee Timmons  
Legal Administrator  
Intellectual Property Section

## FOR PATENT APPLICATION

Received from &lt;650 852 8063&gt; at 6/24/02 10:09:56 AM [Eastern Daylight Time]

As a below named inventor, I hereby declare that:

My residence/post office address and citizenship are as stated below next to my name:

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**Single-Pass Guaranteed-Fit Data Compression Using Rate Feedback**

the specification of which is attached hereto unless the following box is checked:

was filed on \_\_\_\_\_ as US Application No. or PCT International Application Number \_\_\_\_\_ and was amended on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understood the contents of the above-identified specification, including the claims, as amended by any amendment(s) referred to above. I acknowledge the duty to disclose all information which is material to patentability as defined in 37 CFR 1.56.

**Foreign Application(s) and/or Claim of Foreign Priority**

I hereby claim foreign priority benefits under Title 35, United States Code Section 119 of any foreign application(s) for patent or inventor(s) certificate listed below and have also identified below any foreign application for patent or inventor(s) certificate having a filing date before that of the application on which priority is claimed:

COUNTRY	APPLICATION NUMBER	DATE FILED	PRIORITY CLAIMED UNDER 35 U.S.C. 119
			YES: _____ NO: _____
			YES: _____ NO: _____

**Provisional Application**

I hereby claim the benefit under Title 35, United States Code Section 119(e) of any United States provisional application(s) listed below:

APPLICATION NUMBER	FLING DATE

**U. S. Priority Claim**

I hereby claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code Section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

APPLICATION NUMBER	FLING DATE	STATUS (patented/pending/abandoned)

**POWER OF ATTORNEY:**

As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith:

Customer Number **022879****CLIFTON L. ANDERSON  
30,989**

Send Correspondence to:  
**HEWLETT-PACKARD COMPANY**  
 Intellectual Property Administration  
 P.O. Box 272400  
 Fort Collins, Colorado 80527-2400

Direct Telephone Calls To:  
 Susan E. Heminger  
 (650) 236-2738

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full Name of Inventor: **Debangha Mukherjee** Citizenship: **India**

Residence: **1422 Vallejo Drive, San Jose, CA 95130**

Post Office Address: **1422 Vallejo Drive, San Jose, CA 95130**

*Deb Mukherjee* Date **11/01/2001**

Inventor's Signature

Rev 10/01 (DecPwR)

(Use Page Two For Additional Inventor(s) Signature(s))

Page 1 of 2

Full Name of # 2 joint inventor: Christos Chrysalis Citizenship: Greece  
 Residence: 870 E. El Camino Real, Apt. 106, Mountain View, CA 94040  
 Post Office Address: 870 E. El Camino Real, Apt. 106, Mountain View, CA 94040  
 Inventor's Signature \_\_\_\_\_ Date 01/09/2001

Full Name of # 3 joint Inventor: Amir Said Citizenship: Brazil  
 Residence: 20380 Stevens Creek Blvd., Apt. 208, Cupertino, CA 95014  
 Post Office Address: 20380 Stevens Creek Blvd., Apt. 208, Cupertino, CA 95014  
 Inventor's Signature \_\_\_\_\_ Date Nov. 01, 2001

Full Name of # 4 joint inventor: \_\_\_\_\_ Citizenship: \_\_\_\_\_  
 Residence: \_\_\_\_\_  
 Post Office Address: \_\_\_\_\_  
 Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_

Full Name of # 5 joint Inventor: \_\_\_\_\_ Citizenship: \_\_\_\_\_  
 Residence: \_\_\_\_\_  
 Post Office Address: \_\_\_\_\_  
 Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_

Full Name of # 6 joint inventor: \_\_\_\_\_ Citizenship: \_\_\_\_\_  
 Residence: \_\_\_\_\_  
 Post Office Address: \_\_\_\_\_  
 Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_

Full Name of # 7 joint Inventor: \_\_\_\_\_ Citizenship: \_\_\_\_\_  
 Residence: \_\_\_\_\_  
 Post Office Address: \_\_\_\_\_  
 Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_

Full Name of # 8 joint Inventor: \_\_\_\_\_ Citizenship: \_\_\_\_\_  
 Residence: \_\_\_\_\_  
 Post Office Address: \_\_\_\_\_  
 Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_